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OTIS ELEVATOR COMPANY
OTIS INTELLECTUAL PROPERTY DEPARTMENT
FARMINGTON, CONNECTICUT

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ADDRESSEE: USPTO/Filing Receipt Corrections FAX: 571-273-8300

SENDER: Ana Rivera


TOTAL NUMBER OF PAGES INCLUDING LEAD SHEET: 11

DATE: August 8, 2006

RE: US Patent Application 10/521,539
CONICAL SPRING BUFFER FOR AN ELEVATOR (Shibasaki)
Our File: OT-5055

I hereby certify that the following document (attached) is being facsimile transmitted to the U.S. Patent and Trademark Office at (571) 273-8300 on August 8, 2006, for filing in the above-referenced application:

- Request for Corrected Official Filing Receipt and Change of Entity Status (2 pages);
- Marked-up copy of Official Filing Receipt (3 pages);
- Copy of Transmittal Letter to the U.S. Designated/Elected Office Form PTO-1390 (2 pages);
- Copy of Credit Card Form PTO-2038 (1 page); and
- Copy of Response to Missing Requirements (2 pages).


Ana Rivera**-NOTICE-**

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In re application of : Date: August 8, 2006
Shusaku Shibasaki : Examiner: Not Yet Assigned
Appln. No.: 10/521,539 : Group Art Unit: 3652
Nat'l Phase of PCT/US03/19856
Int'l Filing Date: June 23, 2003 :
Filing Date: January 14, 2005 : Docket No.: OT-5055
Title: CONICAL SPRING BUFFER FOR AN ELEVATOR

Commissioner for Patents
Mail Stop: Filing Receipt Corrections
P.O. Box 1450
Alexandria, Virginia 22313-1450

**REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT
AND
CHANGE OF ENTITY STATUS**

Attached is a marked-up copy of the official Filing Receipt received from the Patent and Trademark Office in the above application for which issuance of a corrected filing receipt is respectfully requested.

The entity status is incorrect. Applicant's entity status is large.

Enclosed are copies of the Transmittal Letter to the U.S. Designated/Elected Office and of the Credit Card Form PTO-2038 showing the large entity filing fee payment dated January 14, 2005.

Additionally, Applicant encloses herewith a copy of the Response to Missing Requirements dated August 29, 2005 wherein Applicant requested correction of the entity status.


In the Response to Missing Requirements Applicant indicated that there was no paperwork submitted with the filing of the U.S. national stage that would classify Applicant as a small entity and an adjustment of the office records to show Applicant as a large entity status was requested.

In view of the above comments, Applicant again requests that the Office records be corrected to show Applicant as a large entity and that a corrected filing receipt be issued for the present application.

Applicant does not believe any fees are required with the filing of this request.

Should the Examiner require any additional information with regards to the present application, Applicant respectfully requests the Examiner contact Applicant's Attorney at the below listed number.

Respectfully submitted,
Shusaku Shibasaki


Lisa A. Bongiovi
Registration No. 48,933

Otis Elevator Company
Ten Farm Springs
Farmington, CT 06032
Telephone: (860) 676-5743
Facsimile: (860) 998-3392

PTO-1390 (Rev. 10-2004)

Approved for use through 10/1/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER OT-5055
INTERNATIONAL APPLICATION NO. PCT/US03/19856		U.S. APPLICATION NO. (If known, see 37 CFR 1.5)
INTERNATIONAL FILING DATE 23 June 2003		PRIORITY DATE CLAIMED 16 July 2002
TITLE OF INVENTION CONICAL SPRING BUFFER FOR AN ELEVATOR		
APPLICANT(S) FOR DO/EO/US Shusaku Shibasaki		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.		
2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.		
3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input checked="" type="checkbox"/> The US has been elected (Article 31).		
5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))		
a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> has been communicated by the International Bureau.		
c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).		
6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).		
a. <input type="checkbox"/> is attached hereto.		
b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).		
7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))		
a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> have been communicated by the International Bureau.		
c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.		
d. <input checked="" type="checkbox"/> have not been made and will not be made.		
8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11 to 20 below concern document(s) or information included:		
11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input type="checkbox"/> A preliminary amendment.		
14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.		
15. <input type="checkbox"/> A substitute specification.		
16. <input type="checkbox"/> A power of attorney and/or change of address letter.		
17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.		
18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).		
19. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).		
20. <input checked="" type="checkbox"/> Other items or information: Credit Card Form PTO-2038		

This collection of information is required by 37 CFR 1.414 and 1.487-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, and has not been determined to be a burden on the public. The information is collected from the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

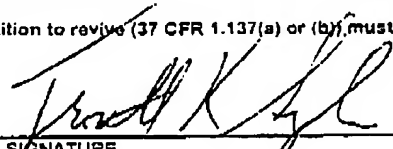
Page 1 of 2

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PTO-1350 (Rev. 10-2004)

Approved for use through 3/31/2007 CMB 0551-0021
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. PCT/US03/19856		ATTORNEY'S DOCKET NUMBER OT-5055	
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO\$1110.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$950.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$790.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)\$750.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY	
				\$ 750.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 0	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	7 - 20 =	0	X \$18.00	\$ 0	
Independent claims	1 - 3 =	0	X \$88.00	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		0	+ \$300.00	\$ 0	
TOTAL OF ABOVE CALCULATIONS =				\$ 750.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$ 750.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$ 0	
TOTAL NATIONAL FEE =				\$ 750.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) \$40.00 per property				+ \$ 40.00	
TOTAL FEES ENCLOSED =				\$ 790.00	
				Amount to be refunded: \$	
				Amount to be charged: \$	
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. _____. A duplicate copy of this sheet is enclosed. d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
Troxell K. Snyder Otis Elevator Company 10 Farm Springs Farmington, CT 06032					
SIGNATURE  Troxell K. Snyder NAME 30.804 REGISTRATION NUMBER					

FORM PTO-1350 (REV. 10-2004)

Page 2 of 2

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In re application of		Date:	Aug. 29, 2005
Shusaku Shibasaki	:	Examiner:	Unknown
U.S. Appln. No.:	10/521,539	Art Unit:	Unknown
Int'l Appln. No.:	PCT/US03/19856	Docket No.:	OT-5055
Int'l Filing Date:	June 23, 2003		
Title:	CONICAL SPRING BUFFER FOR AN ELEVATOR		

RESPONSE TO MISSING REQUIREMENTS UNDER 35 U.S.C. 371

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

In response to the Notification of Missing Requirements, which was mailed August 9, 2005, Applicant submits that the Declaration submitted with the U.S. national stage application is proper.

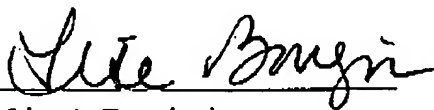
When Applicant entered the U.S. national stage, Applicant placed a copy of the Declaration that had been filed with the original international application with the U.S. national stage application papers in order to assist the patent office. Applicant submitted the Declaration with the original filing of the international application pursuant to PCT Rule 4.17(iv). Under 37 CFR 1.497, the rule provides that only if a declaration was not submitted under PCT Rule 4.17(iv) (at the international stage), the patent office may then require the Applicant to submit a declaration. Thus, because Applicant submitted the Declaration with the international application, the patent office shall not require any additional declarations. In

addition, because the Declaration was submitted with the original international filing, Applicant did not know the international application number when the Declaration was submitted. Thus, the Declaration was proper when it was submitted with the filing of the international application. Accordingly, Applicant hereby submits that the Declaration as submitted with the U.S. national stage is proper and respectfully requests that the patent office withdraw the objection to the Declaration.

In addition, the patent office also stated that an Indication of Small Entity Status had been submitted with the filing of the U.S. national stage. Applicant submits that there was no paperwork submitted with the filing of the U.S. national stage that indicated that Applicant was a small entity. Applicant is not a small entity. Applicant is a large entity. Accordingly, Applicant respectfully requests that the patent office adjust its records in that regard.

In order to assist the patent office Applicant submits herewith another copy of the Declaration, which was filed with the original international application. Applicant respectfully requests that the patent office accept this Declaration.

Respectfully submitted,

By: 

Lisa A. Bongiovi

Registration No. 48,933

Date: August 29, 2005

Otis Elevator Company
10 Farm Springs Road
Farmington, CT 06032
Tel: (860) 676-5743



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/521,539	01/14/2005	3652	300 750	OT-5055	2	7	1

Troxell K. Snyder
Otis Elevator Company
10 Farm Springs
Farmington, CT 06032



CONFIRMATION NO. 1524

FILING RECEIPT



OC000000019121720

Date Mailed: 06/06/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Shusaku Shibasaki, Chiba-ken, JAPAN;

Power of Attorney:

Troxell Snyder--30804

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US03/19856 06/23/2003

Foreign Applications

JAPAN 2002-206866 07/16/2002

Projected Publication Date: 09/14/2006

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Large Entity

Title

Conical spring buffer for an elevator

Preliminary Class

187

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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NOT GRANTED

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